

PATENT COOPERATION TREATY

PCT

INTERNATIONAL PRELIMINARY REPORT ON PATENTABILITY

(Chapter II of the Patent Cooperation Treaty)

(PCT Article 36 and Rule 70)

Applicant's or agent's file reference 12340PC2	FOR FURTHER ACTION		See Form PCT/IPEA/416
International application No. PCT/AU2004/001161	International filing date (<i>day/month/year</i>) 27 August 2004	Priority date (<i>day/month/year</i>) 27 August 2003	
International Patent Classification (IPC) or national classification and IPC Int. Cl. ⁷ G06K 19/07, G06F 17/60, G06F 19/00 155:00			
Applicant FLANAGAN, John Thomas			

<p>1. This report is the international preliminary examination report, established by this International Preliminary Examining Authority under Article 35 and transmitted to the applicant according to Article 36.</p> <p>2. This REPORT consists of a total of 3 sheets, including this cover sheet.</p> <p>3. This report is also accompanied by ANNEXES, comprising:</p> <p style="margin-left: 20px;">a. <input checked="" type="checkbox"/> (sent to the applicant and to the International Bureau) a total of 23 sheets, as follows:</p> <div style="margin-left: 40px;"> <p><input checked="" type="checkbox"/> sheets of the description, claims and/or drawings which have been amended and are the basis for this report and/or sheets containing rectifications authorized by this Authority (see Rule 70.16 and Section 607 of the Administrative Instructions).</p> <p><input type="checkbox"/> sheets which supersede earlier sheets, but which this Authority considers contain an amendment that goes beyond the disclosure in the international application as filed, as indicated in item 4 of Box No. I and the Supplemental Box.</p> </div> <p style="margin-left: 20px;">b. <input type="checkbox"/> (sent to the International Bureau only) a total of (indicate type and number of electronic carrier(s)) , containing a sequence listing and/or table related thereto, in computer readable form only, as indicated in the Supplemental Box Relating to Sequence Listing (see Section 802 of the Administrative Instructions).</p>																									
<p>4. This report contains indications relating to the following items:</p> <table style="width: 100%; border: none;"> <tr> <td style="width: 10%;"><input checked="" type="checkbox"/></td> <td style="width: 20%;">Box No. I</td> <td>Basis of the report</td> </tr> <tr> <td><input type="checkbox"/></td> <td>Box No. II</td> <td>Priority</td> </tr> <tr> <td><input type="checkbox"/></td> <td>Box No. III</td> <td>Non-establishment of opinion with regard to novelty, inventive step and industrial applicability</td> </tr> <tr> <td><input type="checkbox"/></td> <td>Box No. IV</td> <td>Lack of unity of invention</td> </tr> <tr> <td><input checked="" type="checkbox"/></td> <td>Box No. V</td> <td>Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement</td> </tr> <tr> <td><input type="checkbox"/></td> <td>Box No. VI</td> <td>Certain documents cited</td> </tr> <tr> <td><input type="checkbox"/></td> <td>Box No. VII</td> <td>Certain defects in the international application</td> </tr> <tr> <td><input type="checkbox"/></td> <td>Box No. VIII</td> <td>Certain observations on the international application</td> </tr> </table>		<input checked="" type="checkbox"/>	Box No. I	Basis of the report	<input type="checkbox"/>	Box No. II	Priority	<input type="checkbox"/>	Box No. III	Non-establishment of opinion with regard to novelty, inventive step and industrial applicability	<input type="checkbox"/>	Box No. IV	Lack of unity of invention	<input checked="" type="checkbox"/>	Box No. V	Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement	<input type="checkbox"/>	Box No. VI	Certain documents cited	<input type="checkbox"/>	Box No. VII	Certain defects in the international application	<input type="checkbox"/>	Box No. VIII	Certain observations on the international application
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Date of submission of the demand 18 March 2005	Date of completion of the report 11 July 2005
Name and mailing address of the IPEA/AU AUSTRALIAN PATENT OFFICE PO BOX 200, WODEN ACT 2606, AUSTRALIA E-mail address: pct@ipaustalia.gov.au Facsimile No. (02) 6285 3929	Authorized Officer J.W. THOMSON Telephone No. (02) 6283 2214

INTERNATIONAL PRELIMINARY REPORT ON PATENTABILITY

International application No.

PCT/AU2004/001161

Box No. I. Basis of the report

1. With regard to the language, this report is based on the international application in the language in which it was filed, unless otherwise indicated under this item.
- ☐ This report is based on translations from the original language into the following language which is the language of a translation furnished for the purposes of:
- ☐ international search (under Rules 12.3 and 23.1 (b))
 - ☐ publication of the international application (under Rule 12.4)
 - ☐ international preliminary examination (under Rules 55.2 and/or 55.3)
2. With regard to the elements of the international application, this report is based on (*replacement sheets which have been furnished to the receiving Office in response to an invitation under Article 14 are referred to in this report as "originally filed" and are not annexed to this report*):
- ☐ the international application as originally filed/furnished
- ☒ the description:
- pages 1-6, 8, 11, 13-33 as originally filed/furnished
 - pages* 12, 34-43 received by this Authority on 18 March 2005 with the letter of 18 March 2005
 - pages* 7, 9-10 received by this Authority on 24 June 2005 with the letter of 22 June 2005
- ☒ the claims:
- pages as originally filed/furnished
 - pages* as amended (together with any statement) under Article 19
 - pages* 45-47, 49-51 received by this Authority on 18 March 2005 with the letter of 18 March 2005
 - pages* 44, 48 received by this Authority on 24 June 2005 with the letter of 22 June 2005
- ☒ the drawings:
- pages 1 - 8 as originally filed/furnished
 - pages* 9 received by this Authority on 18 March 2005 with the letter of 18 March 2005
 - pages* received by this Authority on with the letter of
- ☐ a sequence listing and/or any related table(s) - see Supplemental Box Relating to Sequence Listing.
3. ☐ The amendments have resulted in the cancellation of:
- ☐ the description, pages
 - ☐ the claims, Nos.
 - ☐ the drawings, sheets/figs
 - ☐ the sequence listing (*specify*):
 - ☐ any table(s) related to the sequence listing (*specify*):
4. ☐ This report has been established as if (some of) the amendments annexed to this report and listed below had not been made, since they have been considered to go beyond the disclosure as filed, as indicated in the Supplemental Box (Rule 70.2(c)).
- ☐ the description, pages
 - ☐ the claims, Nos.
 - ☐ the drawings, sheets/figs
 - ☐ the sequence listing (*specify*):
 - ☐ any table(s) related to the sequence listing (*specify*):

* If item 4 applies, some or all of those sheets may be marked "superseded."

INTERNATIONAL PRELIMINARY REPORT ON PATENTABILITY

International application No.

PCT/AU2004/001161

Box No. V Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement

1. Statement

Novelty (N)	Claims 1-39	YES
	Claims	NO
Inventive step (IS)	Claims 1-39	YES
	Claims	NO
Industrial applicability (IA)	Claims 1-39	YES
	Claims	NO

2. Citations and explanations (Rule 70.7)

Citations

D1 - WO 01/63439 A1 (SZEWACH et al) 30 August 2001

D2 - CA 2331238 A1 (JOHNSON) 20 July 2001

D3 - US 2003/031321 A1 (MAGES) 13 February 2003

D4 - US 2003/131265 A1 (BHAKTA) 10 July 2003

D5 - WO 98/52136 A (AMERICAN CARD TECHNOLOGY INC) 19 November 1998

D4 and D5 represent the state of the art and are of no further relevance to this opinion.

Novelty (N) and Inventive Step (IS) of Claims 1 to 39

The claimed invention is novel and contains an inventive step when compared to prior art documents D1 to D3 as none of these prior art documents teaches or suggests all of the essential features of the claimed invention.

In particular none of the prior art documents teach that a profile of an entity is generated from monitoring actual pursuit of the behaviour by the entity.

For instance D2 relies on user input to determine playing parameters for the user rather than monitoring a player's actual gambling behaviour to generate a profile of the player.

Industrial Applicability (IA) of Claims 1 to 39

The claimed invention has industrial applicability in the field of behavioural monitoring and modelling systems.

a facility for verifying the identification means and facilitating pursuit of the behaviour;

a storage means coupled to be in communication with the facility for storing information related to the pursuit of the behaviour by the entity, said
5 information based on monitoring actual pursuit of the behaviour by the entity; and

a modeler module coupled to be in communication with the storage means for generating a profile of the entity based on the stored information related to the pursuit of the behaviour by the entity and comparing the profile
10 with a behaviour model to determine a category of behaviour of the entity.

Preferably, the behaviour model describes one or more categories of the behaviour.

Suitably, the modeler module compares the profile of the entity with a model describing earlier behaviour of the entity.

15 Suitably, the modeler module compares the profile of the entity with a model describing behaviour of a distribution of other entities.

Preferably, the behaviour model comprises one or more criteria related to the behaviour.

20 Suitably, the criteria include one or more of: acceleration criterion, chasing losses criterion, frequency criterion, duration criterion, an inter-behaviour criterion, an income proportion criterion, an age criterion, a sex criterion, an override criterion, a disposable income criterion, a proportion of time spent employed criterion.

25 Preferably, in determining the category of behaviour of the entity, the modeler module considers whether any limits, blocks, triggers and/or exclusions related to the entity have been activated or overridden or whether attempts have

whether limits, blocks or triggers related to the entity have been activated.

Suitably, the system further comprises a referrer module for updating information stored in relation to an entity where the entity has been referred for assistance in relation to their behaviour.

5 Suitably, the system further comprises a reporter module for generating reports about the pursuit of the behaviour of an entity.

Preferably, the identification means stores only a unique identifier for identifying the entity and no other information relating to the entity.

Suitably, the identification means is an electronic wallet.

10 In another form, the invention resides in a method for facilitating responsible behaviour by an entity, said method including the steps of:

verifying an identification means identifying the entity;

facilitating pursuit of the behaviour via a facility;

monitoring actual pursuit of the behaviour by the entity;

15 storing information related to the pursuit of the behaviour by the entity in a storage means coupled to be in communication with the facility;

generating a profile of the entity based on the stored information related to the pursuit of the behaviour by the entity;

comparing the profile of the entity with a behaviour model; and

20 determining a category of behaviour of the entity.

Suitably, the step of comparing includes comparing the profile of the entity with a model describing earlier behaviour of the entity.

Suitably, the step of comparing includes comparing profile of the entity with a model describing behaviour of a distribution of other entities.

25 Preferably, the step of comparing includes comparing the profile of the

entity with one or more criteria related to the behaviour.

Suitably, the criteria include one or more of: acceleration criterion, chasing losses criterion, frequency criterion, duration criterion, an inter-behaviour
5 criterion, an income proportion criterion, an age criterion, a sex criterion, an override criterion, a disposable income criterion, a proportion of time spent employed criterion.

Suitably, the step of determining includes considering whether any limits, blocks or triggers related to the entity have been activated.

10 Preferably, the step of determining includes considering whether any limits, blocks, triggers and/or exclusions related to the entity have been overridden or have been attempted to be overridden.

Suitably, the step of determining includes attributing a different weight to the entity overriding or attempting to override a limit, trigger, block and/or
15 exclusion generated by the behaviour model than a weight attributed to the entity overriding or attempting to override a self-imposed limit, trigger, block and/or exclusion.

The method may further include the step of sending a targeted message to the entity in response to the activation of one or more limits, blocks and/or
20 triggers related to the entity.

The method may further include the step of initiating a change to one or more operating parameters of the facility in response to the activation of one or more limits, blocks and/or triggers related to the entity.

Suitably, the method further includes the step of referring the entity for
25 assistance in relation to their behaviour.

FIG 4 shows an example of identification criteria for identifying problem gambling and potentially problem gambling;

FIG 5 shows criteria that may be considered to classify gamblers;

FIG 6 shows activities that may take place once a gambler has been
5 classified;

FIG 7 is a screenshot showing an embodiment of the invention in which a gambler may specify limits in relation to their gambling;

FIG 8 is an alternative screenshot to that shown in FIG 7;

FIG 9 is a screenshot showing the crediting of an account for use in
10 gambling; and

FIG 10 is a flowchart illustrating changing one or more operating parameters of the gaming facility in accordance with an embodiment of the invention.

DETAILED DESCRIPTION OF THE INVENTION

15 Embodiments of the present invention will be described in relation to a system and method for facilitating responsible gambling. However, it will be appreciated that the present invention is not limited to this application and it may be applied to other forms of behaviour that may become problematic or compulsive addictive, such as, but not limited to, shopping, the consumption of
20 intoxicating substances such as alcohol, borrowing or spending money and the like. Hence, the reader will appreciate that reference herein to, for example, a gambler, in another application of the present invention, may refer to another relevant entity, such as a shopper, a borrower, a spender or a consumer of intoxicating substances. Similarly, reference herein to a gambling facility, in
25 another application may be, for example, a shopping facility such as an EFTPOS machine or ATM. Furthermore, the models and criteria for diagnosing categories of behaviour such as "at risk" behaviour, problem behaviour, and/or compulsive

authorized third party may mandate that limits cannot be exceeded. Each time a limit is exceeded, where it has been elected or not otherwise prevented by mandate, a targeted message may be sent to the gambler via the gambling facility 4 at which the gambler is playing or by email or SMS or mail or other means.

According to one embodiment of the present invention, in response to the modeler module 24 determining that a gambler's behaviour falls into a particular category, such as an "at risk" gambler, the system has the capacity to change the operation of the gambling facility 4 in an attempt to help the gambler address their problem. The resolver module 22 sends instructions to the gambling facility 4 via the venue computer 6 to change the gambling facility parameters, such as preventing play, periodically preventing play, limiting a maximum monetary amount bet, limiting the number of games played simultaneously, such as limiting the number of lines, hands, throws, spins played, limiting the number of games played consecutively, such as a maximum of 20 spins, hands, spins, throws, reducing the speed at which the game is played such as reducing the speed at which game reels are spun. Other changes of parameters are envisaged that will depend on the type of behaviour being pursued and in the case of gambling, the type of game being played and any configurable options available. Such changes would be for the gambler playing with a particular identification means 32 and all changes would be monitored and authorized by the venue computer for compliance with local gaming legislation or the like.

Regarding changing one or more operating parameters of the facility, according to one embodiment, this includes preventing the gambler from playing at least until checks have been made against the stored limits and triggers

whether or not the gambler is permitted to play. Preventing the gambler from playing may be achieved by controlling coin or note acceptors and/or cashless acceptors such as token acceptors and/or the card reader 13 of the gambling facility 4. The acceptors may be inhibited from accepting funds or tokens for gambling by, for example, physically blocking the acceptors such that funds or tokens cannot be inserted or by rejecting the tendered funds or tokens and returning them to the gambler. In one embodiment, the card reader would not be physically blocked since the gambler needs to be identified via the card, but the system prevents funds being spent via the card.

Preventing the gambler from playing by changing one or more operating parameters of the facility can be considered an active mode of the system and method of the present invention. In a first active mode, according to one embodiment, no changes to the firmware of the gaming facility 4 are required, thus providing independence from the manufacturer of the gaming facility 4. The gaming facility 4 comprises a microprocessor controller and microprocessor-controlled coin, note and/or token acceptors and/or card reader 13. The acceptors are operated through electronic signals to enable and disable the acceptors. The acceptors are also capable of detecting the denomination of inserted funds or the value of a transaction via a card or note. This may be via the generation of pulses to signal the denomination or amount. Alternatively, other signaling may be employed. In one embodiment, the default state of the acceptor(s) is to inhibit acceptance of funds. Unless the microprocessor sends an enable signal to the acceptor, the acceptor remains in an inhibit state. The type of acceptors to which this aspect of the invention relates may normally be part of the gaming facility 4 depending upon the jurisdiction.

The microprocessor is coupled to be in communication with the venue computer 6 and the central operations centre 14. The microprocessor is also coupled to be in communication with the acceptor(s) through either a hardware wire patch panel or USB interface or other means of communication such as wireless communication. The microprocessor controller shares this acceptor connection with the gaming facility 4, but the microprocessor controller board is independent of the bus of the gaming facility 4 and therefore is unable to influence the gaming facility 4 apart from inhibiting or enabling the acceptor(s). The microprocessor controller is also coupled to be in communication with the card reader 13 and a display of the gaming facility 4 to enable appropriate messages regarding acceptance or rejection of funds to be displayed and other messages, such as pre-commitment limits being reached or permission to gamble being suspended and the like as described above. In one embodiment, power for the microprocessor controller is derived from the power supply to the gaming facility 4 by any suitable means known to persons skilled in the art. Alternatively, some other power source may be utilized, such as stepped down mains supply.

With reference to Table 1 and FIG 10, according to one embodiment, the acceptor is initially inhibited from accepting funds or tokens and will remain in this state unless: the inserted card is not from an excluded party, the card is not stolen, damaged or expired, pre-commitment limits set, if any apply to the card, have not been reached, any inter-session time, player pause or other time limit or suspension is not in force for this card, the coins or notes or cashless tokens already inserted for this particular play do not exceed the maximum bet or amount spent in relation to the relevant period, such as session, day, week,

month or year, no targeted screen messages have been displayed or are scheduled to be displayed and the player is not a person identified by the modeling and identification process, whether identified to be prevented from playing or to be directed to counsellors.

5 If the above conditions are satisfied, the acceptors are enabled by the microprocessor controller. The gaming facility 4 then controls the coin, notes and cashless playing in a conventional manner. This includes the ability of the gaming facility 4 to inhibit the acceptor. This process does not alter, impact on or interfere with the operation of the gaming facility management software or
10 firmware at any point. There is no potential point of fraud, manipulation or compromise of the integrity of the gaming facility management software or firmware operational mechanics. This aspect of the invention enables or prevents play by the gambler by stopping deposition of funds or tokens through the acceptors. If the aforementioned conditions are satisfied, i.e. are not
15 activated, the inhibit signal to the acceptors are dropped and the acceptors will process the funds according to conventional rules of the gaming facility 4 as currently occurs.

TABLE 1

ACCEPTOR STATUS	OPERATIONAL OR PLAYER CONDITION
INHIBIT	NO CARD INSERTED
INHIBIT, PENDING STATUS RESULT	CARD INSERTED, CHECKING CARD STATUS
INHIBIT	EXCLUDED
INHIBIT	SESSION AMOUNT LIMIT
INHIBIT	SESSION TIME LIMIT
INHIBIT	DAY AMOUNT LIMIT

INHIBIT	DAY TIME LIMIT
INHIBIT	WEEK AMOUNT LIMIT
INHIBIT	WEEK TIME LIMIT
INHIBIT	MONTH AMOUNT LIMIT
INHIBIT	MONTH TIME LIMIT
INHIBIT	YEAR AMOUNT LIMIT
INHIBIT	YEAR TIME LIMIT
INHIBIT	MACHINE DENOMINATION DECLINE
INHIBIT	GAMBLING MODE LIMIT
INHIBIT	SPECIFIC DAY OR DATE EXCLUSION
ENABLE	None of the above is true, money can be inserted.
CHANGE ENABLE TO INHIBIT	Money inserted reaches a pre-commitment limit. Status changes to INHIBIT on coin or note that reaches limit. Credits inserted whilst ENABLE are played
INHIBIT	Between plays whilst system processes player information and checks LIMITS.
ENABLE	If no limit reached at last play. Acceptor status changed to ENABLE. OK to PLAY

When the system sets the inhibit signal high in the coin acceptor, any coins inserted are rejected and pass to the coin return receptacle. Similarly, in the case of a note acceptor when the inhibit signal is high, any note inserted is rejected and returned to the player. Similarly, in the case of a cashless acceptor, such as a token or card, when inhibit signal is high, any cashless token, card etc. is rejected and returned to the player. In a coin acceptor, if the inhibit signal is set high for any reason whilst coins are in a stream, any coins entering the coin acceptor validation area are rejected once the signal is raised. Similarly in the case of a note acceptor, if, for example, the denomination inserted will exceed a pre-commitment value the note is rejected. Similarly in the case of a cashless acceptor, if the denomination inserted will exceed a pre-commitment value the

cashless token or currency transfer to the gaming facility 4, in whatever form, is rejected.

In this active mode, the system is aware of the denomination of the money or funds being accepted by the gaming facility 4 where the acceptor uses a pulse or other technology to inform the gaming facility 4 of the denomination of money inserted. Therefore, the system is informed of the proposed amount to be gambled by the player before any play has been initiated on the gaming facility 4. Hence, the system is able to inhibit fund acceptance once a pre-committed maximum spend amount or time limit has been reached.

The components required to implement this aspect of the invention are readily available and conventional components are compatible with many gaming facilities 4. However, if any compatibility issues exist, Microcoin QL or equivalent coin, note or cashless acceptors, for example, are envisaged to address such issues.

In a second active mode, according to one embodiment, changes to the firmware of the gaming facility 4 are implemented such that, under instructions from the venue computer 6 or the central operations centre 14, the firmware of the gaming facility 4 inhibits or enables play via the acceptors or other means rather than the microcontroller as in the first active mode. Otherwise, in the second active mode the system operates in the same manner as the first active mode. In the second active mode it is the firmware of the gaming facility 4 that inhibits or enables play based on the conditions identified in Table 1. The second active mode requires the manufacturer's permission to modify the firmware of the gaming facility 4, which may be resisted and/or be time consuming to implement, and in this respect is less desirable than the mode of

operation of the first active mode.

In contrast, in a passive mode of the system, according to one embodiment, there is no ability to initiate changes to the operating parameters of the gaming facility 4, such as inhibiting acceptors. The passive mode monitors the gambling behaviour of a player in real time and places that information before the player or venue staff or some other appropriately authorized body for action. Under the active modes, action or intervention is accomplished electronically by prevention of play and greater control over screen messages.

The system and method also accommodates interstate and overseas visitors by issuing visiting gamblers with an identification means 32 such as a card as described above upon the provision of suitable identification. Where the system and method of the present invention are implemented on a national basis, interstate visitors will be subject to the counseling referral aspect of the invention. It is envisaged that overseas visitors would not be subject to the counseling referral aspect, although it could be feasible. For statistical purposes, data from both interstate and overseas visitors would be stored in the central database 18. So called "high rollers" would also be issued with an identification means and their statistical data stored as described above, although the duty of care issues remain with the gaming establishment in which the high roller is playing.

The method and system of the present invention thus provide a solution to problematic and/or compulsive addictive behaviour such as problem gambling. This is achieved by preventing anyone from partaking in certain behaviour in a particular jurisdiction or venue without the identification means 32, the identification means having been acquired on the basis of a minimum of

information about the entity, thus preserving their privacy. The system and method provide an early indication of at risk entities, such as gamblers, on the basis of actual behaviour monitored by the system and can impose one or more limits, triggers, blocks and/or exclusions at the election of the gambler or authorized third party and/or offer counseling before a problem develops rather than afterwards. The rapid identification of any problem enables the system and method to target limited counseling resources to at risk and problem entities rapidly, thus reducing the likelihood of longer term counseling being necessary.

The system and method does not rely on the entity recognizing their problem and/or referring themselves for help once the problem has occurred and brings the entities' behaviour to their attention. If a problem occurs, the statistical information provides all the necessary data to evidence the problem to the entity. The system and method does not rely on the entity honestly disclosing their compulsive addictive habits or accurately remembering them or the entity disclosing other details about their circumstances such as their income. The present invention also prevents underage participation in particular activities/behaviour since a person cannot obtain the identification means if they are under the legal age for the activity and cannot partake in the activity without the identification means.

Furthermore, the system and method makes the individual responsible and accountable, but provides multiple mechanisms for receiving assistance if a problem occurs, the nature of the assistance depending on the extent of their problem. Nonetheless, the system and method do not infringe on civil liberties since entities are permitted to partake in a legal activity and maintain their privacy. Entities are also permitted to access their record held by the central

database 18 at any time upon request, as shown at 110 in FIG 3. Entities may be permitted access to their records via the Internet 16.

The system and method provide an accurate and objective database of statistics that enables the industry concerned, authorized other party, if any and government to address and monitor the issue of problem behaviour and provide additional services to associated groups. The reliable, accurate statistics derived from real activities will serve to ameliorate the sometimes excessive and unfounded responses of certain sectors to problem/compulsive/addictive behaviour such as gambling. The collated statistics can: facilitate monitoring of payouts of electronic gambling machines and other forms of gambling facilities; help determine the appropriateness of the quantity and distribution of facilities that enable pursuit of behavior such as gambling, consumption of intoxicating substances and the like; provide patterns of "normal" and "abnormal" behaviour within a particular jurisdiction at any point in time; provide guidance to members of the relevant industry, governmental and regulatory bodies; provide loyalty and frequent participation data to those offering the facilities with the entity's permission; evidence the exercising of a duty of care to participants of the relevant behaviour; determine the potential sustainability of particular forms of behaviour, such as borrowing or gambling and particular forms of it; and report on the extent of the problem according to the particular definition and/or classification of the problem.

The self-imposed limits and blocks and/or limits, triggers and blocks imposed by an appropriately authorized other party that may be associated with the identification means provide a mechanism for the entity to restrain their behaviour that doesn't rely on the entity's will power whilst in the throes of

pursuing their behaviour. Such blocks, limits and/or triggers may also result in more successful treatment than a total block on any particular behaviour, such as gambling, in the event that a problem arises.

Throughout the specification the aim has been to describe the invention without limiting the invention to any one embodiment or specific collection of features. Persons skilled in the relevant art may realize variations from the specific embodiments that will nonetheless fall within the scope of the invention.

CLAIMS:

1. A system for facilitating responsible behaviour by an entity, said system comprising:

an identification means for identifying the entity;

5 a facility for verifying the identification means and facilitating pursuit of the behaviour;

a storage means coupled to be in communication with the facility for storing information related to the pursuit of the behaviour by the entity, said information based on monitoring actual pursuit of the behaviour by the entity; and

10 a modeler module coupled to be in communication with the storage means for generating a profile of the entity based on the stored information related to the pursuit of the behaviour by the entity and comparing the profile with a behaviour model to determine a category of behaviour of the entity.

15 2. The system of claim 1, wherein the behaviour model describes one or more categories of the behaviour.

20 3. The system of claim 1, wherein the modeler module compares the profile of the entity with a model describing earlier behaviour of the entity.

4. The system of claim 1, wherein the modeler module compares the profile of the entity with a model describing behaviour of a distribution of other entities.

25 5. The system of claim 1, wherein the behaviour model comprises one or more criteria related to the behaviour.

- 5 6. The system of claim 5, wherein the criteria include one or more of: an acceleration criterion, a chasing losses criterion, a frequency criterion, a duration criterion, an inter-behaviour criterion, an income proportion criterion, an age criterion, a sex criterion, an override criterion, a disposable income criterion, a proportion of time spent employed criterion.
- 10 7. The system of claim 1, wherein the modeler module considers whether any limits, blocks, triggers and/or exclusions related to the entity have been activated in determining the category of behaviour of the entity.
- 15 8. The system of claim 1, wherein the modeler module considers whether any limits, blocks, triggers and/or exclusions related to the entity have been overridden or have been attempted to be overridden by the entity in determining the category of behaviour of the entity.
- 20 9. The system of claim 1, wherein the modeler module attributes a different weight to the entity overriding a limit, trigger, block and/or exclusion generated by the behaviour model than to the entity overriding a self-imposed limit, trigger, block and/or exclusion.
- 25 10. The system of claim 1, further comprising a resolver module for checking whether limits, blocks or triggers related to the entity have been activated.
11. The system of claim 10, wherein in response to the activation of one or

more limits, blocks or triggers related to the entity, a targeted message is sent to the entity.

12. The system of claim 11, wherein the targeted message is one or more of:

5 an electronic message sent to the facility, an SMS message sent to a portable communication device of the entity, an email sent to an email address of the entity, mail sent to a mailing address of the entity, a verbal message delivered in person to the entity.

10 13. The system of claim 11, wherein in response to the activation of one or more limits, blocks or triggers related to the entity, the resolver module initiates a change to one or more operating parameters of the facility.

15 14. The system of claim 13, wherein the changes to one or more operating parameters of the facility include: preventing pursuit of the behaviour, periodically preventing pursuit of the behaviour, limiting a maximum monetary amount spent for each pursuit of the behaviour, limiting a maximum length of time the behaviour can be pursued, limiting a number of times the behaviour can be pursued simultaneously, limiting a number of
20 times the behaviour can be pursued consecutively, reducing the speed at which the behaviour can be pursued.

25 15. The system of claim 13, wherein the behaviour is gambling and the changes to one or more operating parameters include: preventing play, periodically preventing play, limiting a maximum monetary amount gambled

per play, limiting a maximum length of time gambling can be pursued, limiting a number of games played simultaneously, limiting a number of games played consecutively, limiting a number of lines or hands or spins or throws of play, reducing the speed at which games are played.

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16. The system of claim 1, further comprising a referrer module for updating information stored in relation to an entity where the entity has been referred for assistance in relation to their behaviour.

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17. The system of claim 1, further comprising a reporter module for generating reports about the pursuit of the behaviour of an entity.

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18. The system of claim 1, wherein the identification means stores only a unique identifier for identifying the entity and no other information relating to the entity.

19. The system of claim 1, wherein funds required to pursue the behaviour are stored electronically by the storage means.

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20. The system of claim 1, wherein the identification means electronically stores funds required to pursue the behaviour.

21. A method for facilitating responsible behaviour by an entity, said method including the steps of:

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verifying an identification means identifying the entity;

facilitating pursuit of the behaviour via a facility;
monitoring actual pursuit of the behaviour by the entity;
storing information related to the pursuit of the behaviour by the
entity in a storage means coupled to be in communication with the
5 facility;
generating a profile of the entity based on the stored information
related to the pursuit of the behaviour by the entity;
comparing the profile of the entity with a behaviour model; and
determining a category of behaviour of the entity.

10 22. The method of claim 21, wherein the step of comparing includes comparing
the profile of the entity with a model describing earlier behaviour of the
entity.

15 23. The method of claim 21, wherein the step of comparing includes comparing
the profile of the entity with a model describing behaviour of a distribution of
other entities.

20 24. The method of claim 21, wherein the step of comparing includes comparing
the profile of the entity with one or more criteria related to the behaviour.

25 25. The method of claim 24, wherein the criteria include one or more of: an
acceleration criterion, a chasing losses criterion, a frequency criterion, a
duration criterion, an inter-behaviour criterion, an income proportion
criterion, an age criterion, a sex criterion, an override criterion, a disposable
income criterion, a proportion of time spent employed criterion.

26. The method of claim 21, wherein the step of determining includes considering whether any limits, blocks, triggers and/or exclusions related to the entity have been activated.

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27. The method of claim 21, wherein the step of determining includes considering whether any limits, blocks, triggers and/or exclusions related to the entity have been overridden or have been attempted to be overridden.

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28. The method of claim 21, wherein the step of determining includes attributing a different weight to the entity overriding a limit, trigger, block and/or exclusion generated by the behaviour model than a weight attributed to the entity overriding a self-imposed limit, trigger, block and/or exclusion.

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29. The method of claim 21, further including the step of sending a targeted message to the entity in response to the activation of one or more limits, blocks and/or triggers related to the entity.

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30. The method of claim 29, wherein the targeted message is one or more of:
an electronic message sent to the facility, an SMS message sent to a portable communication device of the entity, an email sent to an email address of the entity, mail sent to a mailing address of the entity, a verbal message delivered in person to the entity.

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31. The method of claim 21, further including the step of initiating a change to

one or more operating parameters of the facility in response to the activation of one or more limits, blocks and/or triggers related to the entity.

32. The method of claim 31, wherein the changes to one or more operating
5 parameters of the facility include: preventing pursuit of the behaviour,
periodically preventing pursuit of the behaviour, limiting a maximum
monetary amount spent for each pursuit of the behaviour, limiting a
maximum length of time the behaviour can be pursued, limiting a number of
times the behaviour can be pursued simultaneously, limiting a number of
10 times the behaviour can be pursued consecutively, reducing the speed at
which the behaviour can be pursued.

33. The method of claim 31, wherein the behaviour is gambling and the
changes to one or more operating parameters of the facility include:
15 preventing play, periodically preventing play, limiting a maximum monetary
amount gambled per play, limiting a maximum length of time the gambling
can be pursued, limiting a number of games played simultaneously, limiting
a number of games played consecutively, limiting a number of lines or
hands or spins or throws of play, reducing the speed at which games are
20 played.

34. The method of claim 21, further including the step of referring the entity for
assistance in relation to their behaviour.

25 35. The method of claim 21, wherein the entity is referred for assistance

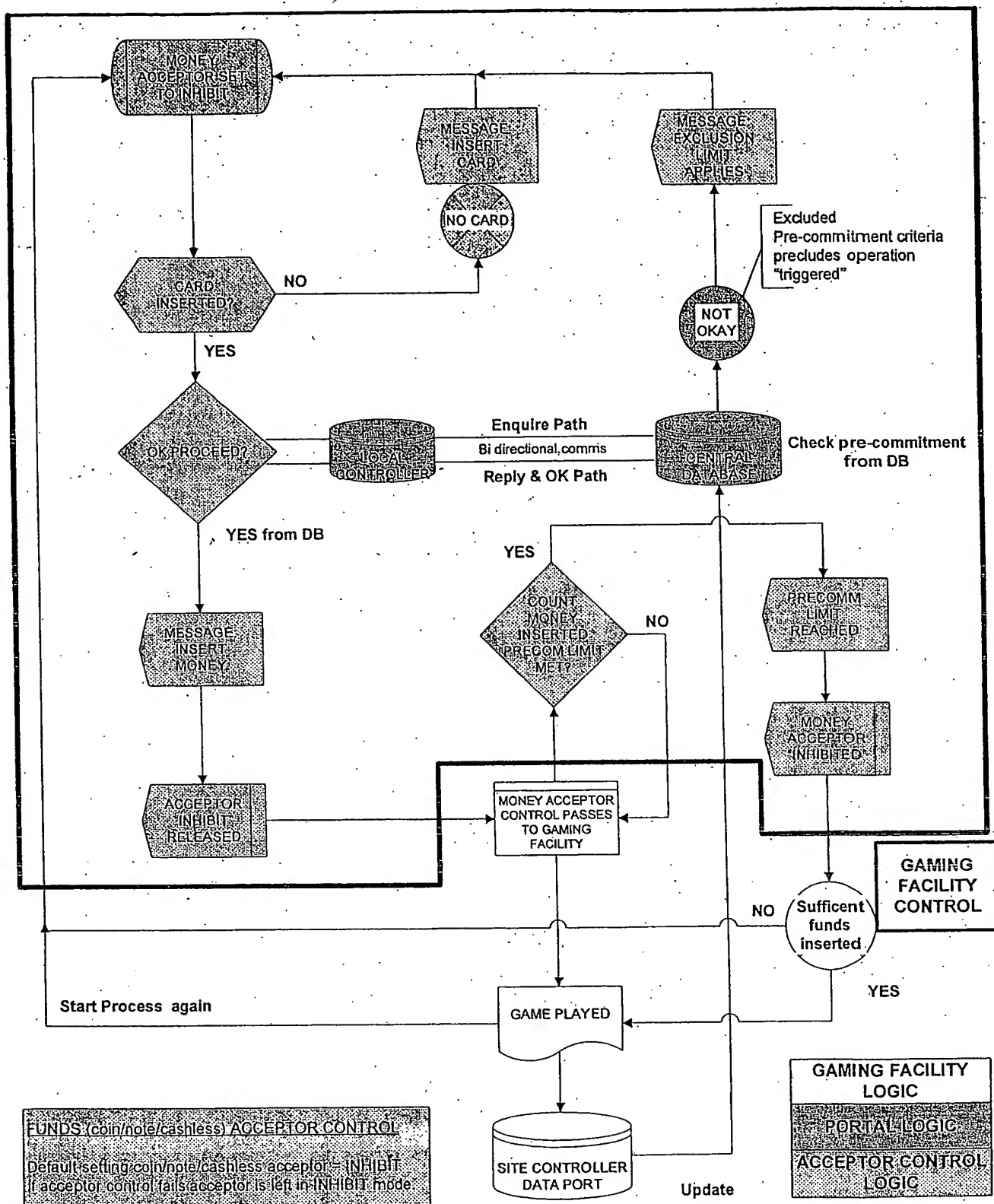
following categorization of the behaviour of the entity as being at risk behaviour, problem behaviour or compulsive/addictive behaviour or a sub-category thereof.

5 36. The method of claim 21, further including the step of generating reports about the pursuit of the behaviour of an entity.

10 37. The method of claim 21, further including the step of the identification means storing only a unique identifier for identifying the entity and no other information relating to the entity.

38. The method of claim 21, further including the step of storing money electronically in the storage means for pursuit of the behaviour.

15 39. The method of claim 21, further including the step of storing money electronically on the identification means for pursuit of the behaviour.



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FIG 10